

CERTIFICATE OF MAILING

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February 26, 2004

Date of Deposit

Amir N. Penn (40,767)

Name of Applicant, Assignee or
Registered Representative

Amir N. Penn

Signature

February 26, 2004

Date of Signature

Our Case No.: 10022-442

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Francis X. Shields, Todd W. Bessemer,
and Mark A. Ruane

Serial No.: TBA

Filing Date: February 26, 2004

For: SPOT MARKET CLEARING

Examiner: TBA

Group Art Unit No.: TBA

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Alexandria, VA 22313-1450

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

The references now cited are the following:

U.S. PATENT DOCUMENTS

DOCUMENT NUMBER Number-Kind Code (if known)	DATE	NAME
US 2003/0061143 A1	03/27/2003	Gustafson

OTHER ART – NON PATENT LITERATURE DOCUMENTS

Todd W. Bessemer, Keith B. Alyea, Francis X. Shields, "Taking Care of Risky Business: Credit Risk Management in Spot Markets," Accenture, 2002, 5 pages.
Powernext User's Guide, "Everything you need to know to operate on Powernext," printed from the Internet at: http://www.powernext.fr/modules/Powernext/download/eng/User-guide_sep03.pdf , dated Version September 2003, 54 pages.
Powernext Products and Organisation, printed from the Internet at: http://www.powernext.fr/modules/Powernext/download/eng/Uti_Brochure_publique_gb.pdf , dated February 2004, 10 pages.

In accordance with 37 C.F.R. § 1.97(g),(h), this Information Disclosure

Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicant(s) respectfully request that the listed documents be made of record
in the present case.

Respectfully submitted,



Amir N. Penn
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Attorney for Applicant(s)

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FORM PTO-1449	SERIAL NO. TBA	CASE NO. 10022-442
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)	FILING DATE February 26, 2004	GROUP ART UNIT TBA
APPLICANT(S): Shields, et al.		

REFERENCE DESIGNATION **U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER Number-Kind Code (if known)	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
A1	US 2003/0061143 A1	03/27/2003	Gustafson		
A2					
A3					
A4					
A5					
A6					
A7					
A8					
A9					
A10					
A11					
A12					
A13					

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER Number-Kind Code (if known)	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
A14					
A15					
A16					
A17					
A18					

EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS	
	(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.)	
A19	Todd W. Bessemer, Keith B. Alyea, Francis X. Shields, "Taking Care of Risky Business: Credit Risk Management in Spot Markets," Accenture, 2002, 5 pages.	
A20	Powernext User's Guide, "Everything you need to know to operate on Powernext," printed from the Internet at: http://www.powernext.fr/modules/Powernext/download/eng/User-guide_sep03.pdf , dated Version September 2003, 54 pages.	
A21	Powernext Products and Organisation, printed from the Internet at: http://www.powernext.fr/modules/Powernext/download/eng/Uti_Brochure_publique_gb.pdf , dated February 2004, 10 pages.	
A22		

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.